

Program Self-Assessment Checklist
Senior Community Service Employment Program (SCSEP)

Sub grantee:		
SCSEP Manager:		
Telephone:		
Program Year:		
Funding Level:		
Number of Modified Slots:		
Current Enrollment:		
Date of Assessment:		
<u>ADMINISTRATIVE REVIEW</u>		
Administration and Staffing [20 CFR 641, Subpart H]		
1. Are job descriptions available?	Yes	No
2. Does the sub grantee maintain the following records in an organized and readily retrievable fashion?		
a. Organizational charts	Yes	No
b. Position descriptions	Yes	No
c. Time sheets	Yes	No
d. Personnel procedures	Yes	No
Staff Payroll		
1. Does sub grantee keep individual cumulative earnings records? (§ 641.879)	Yes	No
2. Do leave records show time earned, used and current balances?	Yes	No
3. Does sub grantee organization have a written grievance procedure for staff? (§ 641.910)	Yes	No
4. Where sub grantees receive funds from other sources, is staff time properly charged to the appropriate program?	Yes	No
Nepotism [20 CFR 641.841]		
1. Does the sub grantee ensure for it and all host agencies conformance to nepotism requirements?	Yes	No
Unionization [20 CFR 641.839]		
1. Are project funds used to support union activity?	Yes	No
Nondiscrimination [20 CFR 641.827]		
1. Does the sub grantee ensure that nondiscrimination assurances are included in all agreements?	Yes	No
Lobbying [20 CFR 641.824; 641.836(c); 641.850(c)]		
1. Is there a procedure in place governing implementation of the provision against lobbying activities utilizing SCSEP funds?	Yes	No
2. Are participants advised of these requirements in writing?	Yes	No
3. Is the Hatch Act available upon request?	Yes	No

Workforce Investment Act Involvement [20 CFR, Subpart B]		
1. Does the sub grantee have a memorandum of understanding (MOU) with the local Workforce Board? (§ 641.200)	Yes	No
2. Does MOU state that Title V dollars can only be used for Title V participants? (§ 641.220)	Yes	No
3. Is there evidence that the sub grantee has coordinated One-Stop activities with other SCSEP sub grantees in the workforce area? (§ 641.210)	Yes	No
4. Is the sub grantee working with the local One-Stop? (§ 641.210)	Yes	No
5. Have linkages been established with One- Stops, area agencies on aging and other SCSEP sub grantees? (§ 641.210)	Yes	No
6. Have efforts been made to obtain funding from the One-Stop or other sources for participant training and placement? (§ 641.210)	Yes	No
7. Have efforts been made to obtain supportive services through the area agencies on aging? (§ 641.210)	Yes	No
8. Is there a cooperative agreement with the other SCSEP sub grantees in the local workforce investment area? (§ 641.210)	Yes	No
<u>FINANCIAL MANAGEMENT</u>		
Fiscal Management [20 CFR 641.800]		
1. Are the expenditures charged to Title V reasonable?	Yes	No
2. Does the sub grantee have a chart of accounts that ensures that Title V will not be charged with cost allocated to other programs?	Yes	No
3. Does the sub grantee have a written accounting procedures manual?	Yes	No
4. Does the accounting system have cost codes to separate Title V from other programs?	Yes	No
5. Are records clean and well-organized without erasures and cross-outs?	Yes	No
6. Is the general ledger posted through the end of the previous month?	Yes	No
7. Are all expenditures to date recorded?	Yes	No
8. Does the sub grantee have a system for allocating cost to the appropriate cost category?	Yes	No
9. Does the sub grantee have a system for monitoring planned vs. actual cost and for taking corrective action?	Yes	No
10. Has the sub grantee earned any program income?	Yes	No
11. Is all program income earned by the grant used for grant purposes?	Yes	No
12. Does the sub grantee have a system for monitoring the limitations on cost categories?	Yes	No
13. Is sub grantee using accrual based accounting system? (§ 641.879(a))	Yes	No
Audit Requirements [20 CFR 641.821]		
1. What is the period covered by the most recent audit?		
2. Were there any administrative findings in the last audit report?	Yes	No
3. Has a final Findings and Determination (F&D) been made?	Yes	No
4. Has a copy of the latest audit been provided to DAAS?	Yes	No

Expenditure Reports		
1. Expenditure reports submitted via email in a timely manner for payment?	Yes	No
Non-Federal Share of Grant Cost [20 CFR 641.809]		
1. How is the sub grantee tracking and calculating the 10% match?		
2. Are the calculations reasonable?	Yes	No
Participant Payroll System		
1. Indicate the frequency of participant payroll.		
2. Are participant payroll files kept in a central location?	Yes	No
3. Are time sheets properly signed for each preceding pay period?	Yes	No
4. Are wages at least the current minimum wage?	Yes	No
5. How does the payroll system work?		
6. Are hours worked cumulative?	Yes	No
7. Are fringe benefits zeroed out at the end of the grant year?	Yes	No
8. Are there two valid signatures (participant & supervisor) on each time sheet?	Yes	No
9. Are training hours tracked separately from community service hours?	Yes	No
<u>PROGRAM OPERATIONS</u>		
Recruitment and Selection [20 CFR 641 Subpart E]		
1. Only eligible participants are approved for Title V Services. (§ 641.500)	Yes	No
2. Eligibility is determined at initial application. (§ 641.505)	Yes	No
3. Are all participant records entered on the SPARQ Database?	Yes	No
4. Eligibility is determined at least once every 12 months after the applicant becomes a participant. (§ 641.505)	Yes	No
5. Financial eligibility is determined in accordance with TEGL 12-06? (§ 641.510)	Yes	No
6. Have participants registered at the local One-Stop? (§ 641.210)	Yes	No
7. Does the sub grantee advertise vacancies?	Yes	No
8. Describe the current method used to fill a vacancy (§ 641.515)		
9. Does the QPR reflect that the sub grantee is serving the hardest to serve clientele, with the emphasis on Veterans? (§ 641.520)	Yes	No
10. Is there a waiting list of applicants?	Yes	No
11. An applicant is moved to participant/ENROLLED status only upon assignment to community service.	Yes	No

12. Priorities for Most in Need applicants are chosen for enrollment in accordance with § 641.520.	Yes	No
Quarterly Progress Report (QPR) [20 CFR Subpart H]		
1. Has the sub grantee submitted quarterly progress reports on a regular and timely basis (within 30 days of the end of the reporting period)? (§ 641.879(b))	Yes	No
2. Does it appear that the sub grantee will meet or exceed all performance goals? (§ 641.700)	Yes	No
Orientation		
1. Is orientation provided to new participants on a timely basis? (§ 641.535)	Yes	No
2. Is the following information relayed during orientation? (Grievance procedures, purpose of program) (§ 641.535)		
3. Are participants advised of the 48 month durational limit at the time of orientation? (§ 641.570)	Yes	No
4. Are participants provided written copies of participant handbook?	Yes	No
Host Agencies		
1. Is orientation provided to host agencies on a timely basis?	Yes	No
2. Are host agencies advised of their responsibilities with the participants? (Providing training, supervision, safe environment, etc.)	Yes	No
3. Are there copies of 501(c)(3) designations for host agencies that are not governmental?	Yes	No
4. Does sub grantee abide by policy prohibiting the assignment of participants to training projects that involve the construction, operation, or maintenance of facilities used or to be used as a place for sectarian religious instruction or worship? (OAA § 502(b)(1)(D))	Yes	No
5. Does sub grantee abide by policy prohibiting the assignment of a participant to a facility which primarily benefits private, profit-making organizations? (OJE is the exception)	Yes	No
6. Does sub grantee abide by prohibiting the assignment of a participant to a political organization? (OAA § 502(b)(1)(D))	Yes	No
7. Is there a host agency agreement or contract on file?	Yes	No
8. How often do host agencies get a re-orientation?		
Participant Assessment, Reassessment and IEP		
1. Are new participants assessed to determine their skills, interests, work history and aptitudes to determine the most suitable training assignment? (§ 641.535 (a)(3)(i-iii))	Yes	No
2. Is there evidence that participants were reassessed at least twice a year? (§ 641.535 (a)(2)(ii))	Yes	No
3. Was the assessment/reassessment used as a basis for developing or amending the Individual Employment Plan (IEP)? (§ 641.535 (a)(3)(i-iii))	Yes	No
4. Was host agency assignment based on the IEP? (§ 641.535 (a)(3)(i-iii))	Yes	No
5. Did the sub grantee develop the IEP in partnership with the participant?	Yes	No
6. Does the IEP have a sequence of short-term attainable goals related to training attained at the host agency or other training that lead to an ultimate goal, usually an employment goal? (OAA § 502(b)(1)(N))	Yes	No

7.	Is the host agency supervisor and, in appropriate instances, the employer, aware of the IEP and his/her role in achieving the goals? (§ 641.550)	Yes	No
8.	Is there evidence that the IEP is updated at least as frequently as the assessment? (§ 641.535(a)(3)(i))	Yes	No
9.	Is there evidence that a participant has been moved to a new host agency on the basis of following the training and employment objectives in the IEP and/or as a result of an approved rotational policy? (§ 641.575)	Yes	No
10.	Is there a DOL approved IEP-related termination policy in the orientation manual, which was given to the participant?	Yes	No
Community Service Assignment			
1.	Are most participant assignments for 20 hours per week? (§ 641.577)	Yes	No
2.	Are participants paid for training and wages only AFTER assignment to community service?	Yes	No
3.	Is the initial community service assignment the same agency for which the client actually performed the community service hours?	Yes	No
4.	Are participants receiving meaningful training based on their IEPs in their community assignments?	Yes	No
5.	Is there a work site agreement for each participant assigned to community service?	Yes	No
6.	Is there a training description for each participant?	Yes	No
7.	Does the host agency offer an orientation to Title V participants?	Yes	No
8.	Are community service hours tracked using SPARQ?	Yes	No
9.	Is the maximum durational limit of 48 months being applied to all participants?	Yes	No
10.	Are the participants being given every opportunity to obtain unsubsidized employment based on the IEP before the durational limit is met?	Yes	No
Enrollee Wages/Fringe Benefits			
1.	Does the participant begin receiving wages immediately upon enrollment in the program?	Yes	No
2.	Does the participant receive the higher of the Federal, State, or local rate of pay? (§ 641.565)	Yes	No
3.	Are wages and fringe benefits provided uniformly to all participants? (§ 641.535(9)) (§ 641.565(b)(1))	Yes	No
4.	What fringe benefits are being offered? (§ 641.565(b))		
5.	Are they reasonable? (Retirement, annual leave, accumulated sick leave, and bonuses are prohibited; holiday leave and physical exam are okay.) (§ 641.565(b))	Yes	No
6.	Is there evidence that participants are being offered physical examinations? (§ 641.565(b)(ii))	Yes	No
7.	Does the sub grantee inform the participant that the results of the exam do not have to be given to the sub grantee? (§ 641.535(b)(1)(ii)(A))	Yes	No
8.	Is there evidence of waivers for physicals? (§ 641.535(b)(1)(ii)(A))	Yes	No
Participant Supportive Services [20 CFR 641.545]			
1.	Are supportive services being provided to assist participants in subsidized and, where appropriate, in unsubsidized employment?	Yes	No

2.	Are supportive services obtained at no cost or reduced cost to the program?	Yes	No
3.	Is there any evidence that grant funds are being used to support the transportation costs of host agencies or other programs?	Yes	No
4.	Are supportive service provided for follow up services?	Yes	No
Participant Training [20 CFR 641.540]			
1.	Are participants offered training to assist in their community service assignment or unsubsidized employment?	Yes	No
2.	Are community service hours being tracked and entered into SPARQ?	Yes	No
3.	Are training hours being tracked?	Yes	No
4.	Is there an indication that the sub grantee has attempted to obtain training through WIA?	Yes	No
5.	Is training realistic and consistent with the IEP?	Yes	No
6.	Is there any indication that participants are enrolled in the program solely for training or job search? (§ 641.535(a)(11)(c))	Yes	No
7.	What types of training are offered?		
8.	Are job clubs and job search being provided ONLY in conjunction with other approved Title V activities? (§ 641.535(11)(c))	Yes	No
9.	OJE assignments are made in accordance with the procedures listed in NC's grant application?	Yes	No
10.	What types of OJE's have been utilized by sub grantee?	N/A	
11.	Is there a contract for each OJE?	Yes	No
12.	Are participants required to complete a period of time in community service placement before training is provided?	Yes	No
13.	Are contracts made for any training that is not done by the host agency, sub grantee or WIA provider?	Yes	No
Maintenance of Effort [20 CFR 641.844]			
1.	Are host agencies made aware of MOE requirements?	Yes	No
2.	Are participants' training assignments a substitute for non-Title V work that should be performed by the regular employee of the host agency (would the agency have to close down without the Title V participant?)	Yes	No
Terminations [20 CFR 641.580]			
1.	Terminations are made in accordance with 641.580?	Yes	No
2.	Written notices are provided for terminations.	Yes	No

Signatures of Approval:

Senior Community Service Employment Program Coordinator/Project Director, Date

Supervisor, Date